

Applicants: Stephen P. Goff and Guangxia Gao  
U.S. Serial No.: 10/568,396  
Filed: August 31, 2006  
Page 7 of 10 of August 18, 2009 Amendment

**Amendments to the Drawings:**

Please replace current Figures 3A-3C with the replacement  
Figures 3A-3C attached hereto as **Exhibit B**.

Applicants: Stephen P. Goff and Guangxia Gao  
U.S. Serial No.: 10/568,396  
Filed: August 31, 2006  
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**Sequence Listing:**

Please insert into the application the Sequence Listing attached hereto as **Exhibit C**.

Applicants: Stephen P. Goff and Guangxia Gao  
U.S. Serial No.: 10/568,396  
Filed: August 31, 2006  
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**Remarks**

The July 22, 2009 Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures indicates that the application fails to comply with 37 C.F.R. §§1.821-1.825. Applicant attaches hereto a copy of the Notice as **Exhibit A**.

In response, applicant attaches hereto a paper copy Sequence Listing as **Exhibit C**, a Statement in accordance with 37 C.F.R. §1.821(f) and (g) as **Exhibit D**, and a computer readable format Sequence Listing as **Exhibit E**.

The computer readable format Sequence Listing and paper copy Sequence Listing contain no new matter as required by 37 C.F.R. §1.821 and 37 C.F.R. §1.825.


Applicant has amended the specification to include the appropriate references to the sequence identification numbers. Applicant has also added the appropriate sequence identification numbers to Figure 3B and a replacement sheet for Figures 3A-3C is attached hereto as **Exhibit B**.

Applicants: Stephen P. Goff and Guangxia Gao  
U.S. Serial No.: 10/568,396  
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If a telephone interview would be of assistance in advancing prosecution of the subject application, applicant's undersigned attorney invites the Examiner to telephone him at the number provided below.


No fee is deemed necessary in connection with the filing of this Amendment. However, if any other fee is required, authorization is hereby given to charge the amount of any such fee to Deposit Account No. 03-3125.

Respectfully submitted,



John P. White  
Registration No. 28,678  
Attorney for Applicant  
Cooper & Dunham LLP  
30 Rockefeller Plaza  
New York, New York 10112  
(212) 278-0400

I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Sequence, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

 8/15/09  
\_\_\_\_\_  
John P. White Date  
Registration No. 28,678

# **EXHIBIT A**

**AMENDMENT IN RESPONSE TO JULY 22, 2009 NOTICE  
TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID  
SEQUENCE DISCLOSURES**

**Serial No. 10/568,396**

Filed: August 31, 2006

Applicants: Stephen P. Goff and Guangxia Gao



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, DC 20231  
www.uspto.gov

APPLICATION NO. / CONTROL NO. 10568396	FILING DATE 8/31/2006	FIRST NAMED INVENTOR / PATENT IN REEXAMINATION GOFF ET AL.	ATTORNEY DOCKET NO. 67489-PCT-US/JPW/JW
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EXAMINER SAMUEL W. LIU
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ART UNIT 1656	PAPER 20090709
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DATE MAILED:

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents

This application contains sequence disclosures that are encompassed by the definitions for nucleotide and/or amino acid sequences set forth in 37 C.F.R. § 1.821(a)(1) and (a)(2). However, this application fails to comply with the requirements of 37 C.F.R. §§ 1.821-1.825 for the reason(s) set forth on the attached Notice To Comply With Requirements For Patent Applications Containing Nucleotide Sequence And/Or Amino Acid Sequence Disclosures. Applicant must comply with the requirements of the sequence rules (37 CFR 1.821 - 1.825) before the application can be examined under 35 U.S.C. §§ 131 and 132.

APPLICANT IS GIVEN ONE MONTH FROM THE DATE OF THIS LETTER WITHIN WHICH TO COMPLY WITH THE SEQUENCE RULES, 37 C.F.R. §§ 1.821-1.825. Failure to comply with these requirements will result in ABANDONMENT of the application under 37 C.F.R. § 1.821(g). Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 C.F.R. § 1.136. In no case may an applicant extend the period for response beyond the six month statutory period. Direct the response to the undersigned. Applicant is requested to return a copy of the attached Notice to Comply with the response.

The addresses below are effective 5 June 2004. Please direct all replies to the United States Patent and Trademark Office via one (1) of the following:

1. Electronically submitted through EFS-Web (<<http://www.uspto.gov/efc/efs/downloads/documents.htm>>, EFS Submission User Manual - ePAVE)

2. Mailed to:

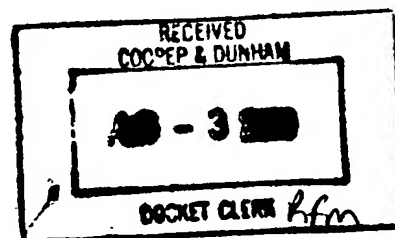
Mail Stop Sequence  
Commissioner for Patents  
P.O. Box 22313 1450  
Alexandria, VA 22313 1450

3. Hand Carry, Federal Express, United Parcel Service or other delivery service to:

U.S. Patent and Trademark Office  
Mail Stop Sequence  
Customer Window  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

Sequence Listing Due 8-22-0  
2mo 9-22-0  
3mo 10-22-0  
1/1mo 11-22-0  
5mo 12-22-0  
6mo 1-22-1

Any inquiry concerning this communication should be directed to Samuel Liu at telephone number (571)272-0949. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Andrew M. Wang, can be reached on 571-272-0811.





<b>Notice to Comply</b>	<b>Application No.</b> 10568396	<b>Applicant(s)</b> Goff et al.	
	<b>Examiner</b> Samuel Wei Liu	<b>Art Unit</b> 1656	

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Applicant must file the items indicated below within the time period set the Office action to which the Notice is attached to avoid abandonment under 35 U.S.C. § 133 (extensions of time may be obtained under the provisions of 37 CFR 1.136(a)).

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998).
- ☒ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☒ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☒ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☒ 7. Other: the specification contains peptide sequences without the corresponding SEQ ID NOs: (see Quayle Action). Applicants are required to comply with requirements for patent application containing amino acid sequence disclosure.

**Applicant Must Provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216 or (703) 308-2923

For CRF Submission Help, call (703) 308-4212 or 308-2923

PatentIn Software Program Support

Technical Assistance.....703-287-0200

To Purchase PatentIn Software.....703-306-2600

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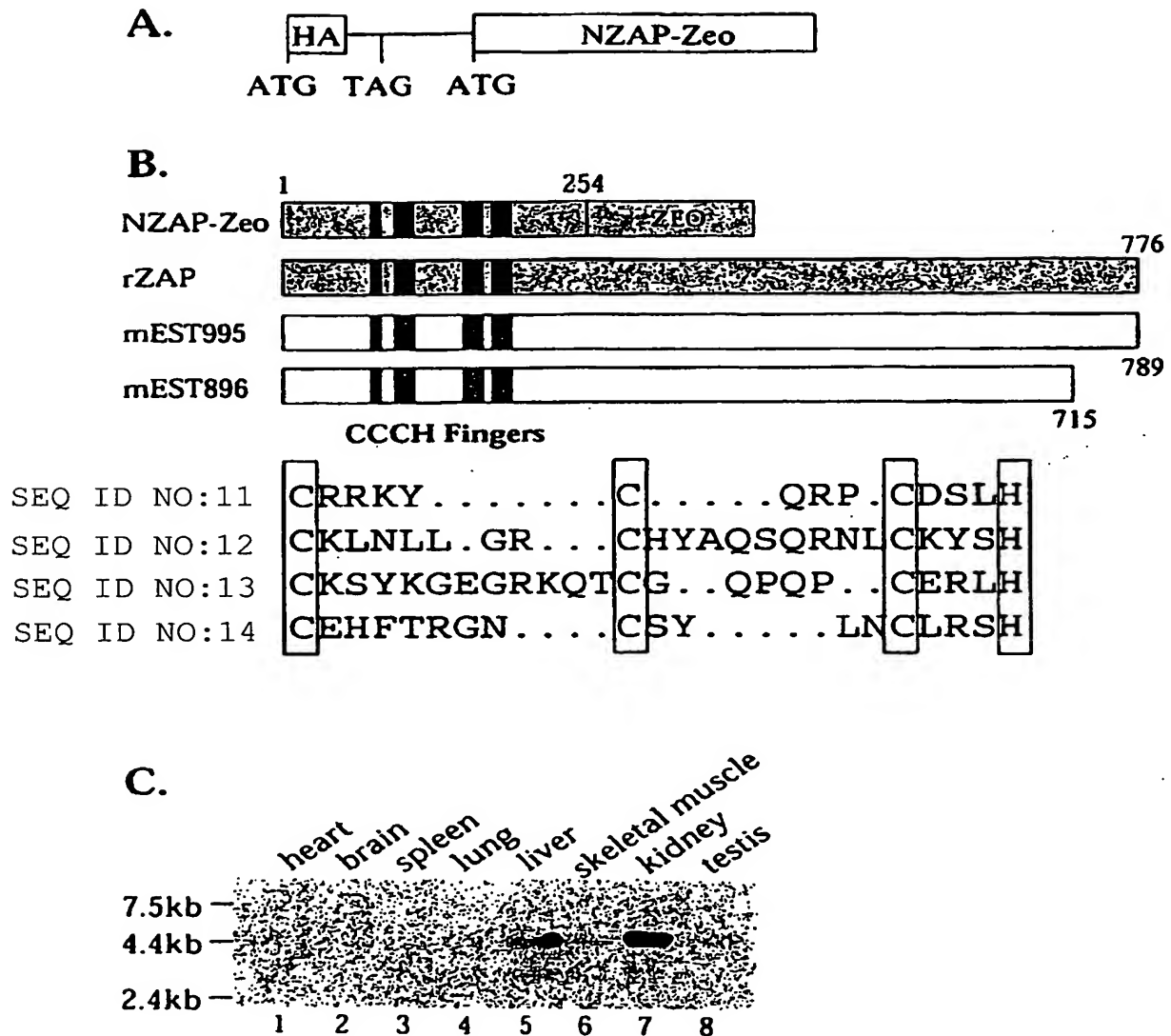
# **EXHIBIT B**

**AMENDMENT IN RESPONSE TO JULY 22, 2009 NOTICE  
TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID  
SEQUENCE DISCLOSURES**

**Serial No. 10/568,396**

Filed: August 31, 2006

Applicants: Stephen P. Goff and Guangxia Gao



FIGS. 3A - C

# **EXHIBIT C**

**AMENDMENT IN RESPONSE TO JULY 22, 2009 NOTICE  
TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID  
SEQUENCE DISCLOSURES**

**Serial No. 10/568,396**

Filed: August 31, 2006

Applicants: Stephen P. Goff and Guangxia Gao

08\_22\_09\_67489\_PCT\_US\_SeqList  
SEQUENCE LISTING

<110> THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK  
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<160> 14  
<170> PatentIn version 3.5  
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<212> PRT  
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35 40 45

Phe Val Leu Leu Glu Thr Gly Gly Gln Ala Gly Ile Thr Arg Ser Val  
50 55 60

Val Ala Thr Thr Arg Ala Arg Val Cys Arg Arg Lys Tyr Cys Gln Arg  
65 70 75 80

Pro Cys Asp Ser Leu His Leu Cys Lys Leu Asn Leu Leu Gly Arg Cys  
85 90 95

His Tyr Ala Gln Ser Gln Arg Asn Leu Cys Lys Tyr Ser His Asp Val  
100 105 110

Leu Ser Glu Gln Asn Phe Gln Ile Leu Lys Asn His Glu Leu Ser Gly

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115

120

125

Leu Asn Gln Glu Glu Leu Ala Cys Leu Leu Val Gln Ser Asp Pro Phe  
130 135 140

Phe Leu Pro Glu Ile Cys Lys Ser Tyr Lys Gly Glu Gly Arg Lys Gln  
145 150 155 160

Thr Cys Gly Gln Pro Gln Pro Cys Glu Arg Leu His Ile Cys Glu His  
165 170 175

Phe Thr Arg Gly Asn Cys Ser Tyr Leu Asn Cys Leu Arg Ser His Asn  
180 185 190

Leu Met Asp Arg Lys Val Leu Thr Ile Met Arg Glu His Gly Leu Ser  
195 200 205

Pro Asp Val Val Gln Asn Ile Gln Asp Ile Cys Asn Asn Lys His Ala  
210 215 220

Arg Arg Asn Pro Pro Gly Thr Arg Ala Ala His Pro His Arg Arg Gly  
225 230 235 240

Gly Ala His Arg Asp Arg Ser Lys Ser Arg Asp Arg Phe Leu His Asn  
245 250 255

Ser Leu Glu Phe Leu Ser Pro Val Val Ser Pro Leu Gly Ser Gly Pro  
260 265 270

Pro Ser Pro Asp Val Thr Ser Cys Lys Asp Ser Leu Glu Asp Val Ser  
275 280 285

Val Asp Val Thr Gln Lys Phe Lys Tyr Leu Gly Thr His Asp Arg Ala  
290 295 300

Gln Leu Ser Pro Val Ser Ser Lys Ala Ala Gly Val Gln Gly Pro Ser  
305 310 315 320

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Gln	Met	Arg	Ala	Ser	Gln	Glu	Phe	Ser	Glu	Asp	Gly	Asn	Leu	Asp	Asp
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			340					345					350		
Ala	Lys	Val	Ala	Gln	Arg	Asn	Glu	Ala	Val	Ala	Met	Lys	Met	Gly	Met
		355					360					365			
Glu	Val	Lys	Gly	Lys	Lys	Glu	Ala	Pro	Asp	Ile	Asp	Arg	Val	Pro	Phe
	370					375					380				
Leu	Asn	Ser	Tyr	Ile	Asp	Gly	Val	Thr	Met	Glu	Lys	Ala	Ser	Val	Ser
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Gly	Ile	Pro	Gly	Lys	Lys	Phe	Thr	Ala	Asn	Asp	Leu	Glu	Asn	Leu	Leu
				405					410					415	
Leu	Leu	Asn	Asp	Thr	Trp	Lys	Asn	Val	Ala	Lys	Pro	Gln	Asp	Leu	Gln
			420					425					430		
Thr	Thr	Gly	Arg	Ile	Thr	Asp	Ser	Gly	Gln	Asp	Lys	Ala	Phe	Leu	Gln
		435					440					445			
Asn	Lys	Tyr	Gly	Gly	Asn	Pro	Val	Trp	Ala	Ser	Ala	Ser	Thr	His	Asn
	450					455					460				
Ala	Pro	Asn	Gly	Ser	Ser	Gln	Ile	Met	Asp	Glu	Thr	Pro	Asn	Val	Ser
465					470					475					480
Lys	Ser	Ser	Thr	Ser	Gly	Phe	Ala	Ile	Lys	Pro	Ala	Ile	Ala	Gly	Gly
				485					490					495	
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			500					505					510		
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Gln	Ser	Pro	Leu	Ser	Ser	Ser	Ser	His	Arg	Ala	Ala	Ala	Ser	Gly	Ser	530	535	540
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Ser	Arg	Met	Thr	Ser	Asp	Pro	Asp	Glu	Tyr	Leu	Leu	Arg	Tyr	Ile	Leu	565	570	575
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Asp	His	Leu	Tyr	Lys	Gly	Cys	Gln	Gln	Ser	His	Cys	Asp	Arg	Ser	His	595	600	605
Phe	His	Leu	Pro	Tyr	Arg	Trp	Gln	Met	Phe	Val	Tyr	Thr	Thr	Trp	Arg	610	615	620
Asp	Phe	Gln	Asp	Met	Glu	Ser	Ile	Glu	Gln	Ala	Tyr	Cys	Asp	Pro	His	625	630	635
Val	Glu	Leu	Ile	Leu	Ile	Glu	Asn	His	Gln	Ile	Asn	Phe	Gln	Lys	Met	645	650	655
Thr	Cys	Asp	Ser	Tyr	Pro	Ile	Arg	Arg	Leu	Ser	Thr	Pro	Ser	Tyr	Glu	660	665	670
Glu	Lys	Pro	Leu	Ser	Ala	Val	Phe	Ala	Thr	Lys	Trp	Ile	Trp	Tyr	Trp	675	680	685
Lys	Asn	Glu	Phe	Asn	Glu	Tyr	Ile	Gln	Tyr	Gly	Asn	Glu	Ser	Pro	Gly	690	695	700
His	Thr	Ser	Ser	Asp	Ile	Asn	Ser	Ala	Tyr	Leu	Glu	Ser	Phe	Phe	Gln	705	710	715
Ser	Cys	Pro	Arg	Gly	Val	Leu	Pro	Phe	Gln	Ala	Gly	Ser	Gln	Lys	Tyr	725	730	735

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08\_22\_09\_67489\_PCT\_US\_SeqList

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1980

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2040

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2100

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2160

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2220

caagggatga ttcagacaaa tatagcttcc aagactcaaa ggcattgtgt cagaaggcca  
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08\_22\_09\_67489\_PCT\_US\_SeqList

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08\_22\_09\_67489\_PCT\_US\_SeqList

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08\_22\_09\_67489\_PCT\_US\_SeqList

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		10	

Ser His

# **EXHIBIT D**

**AMENDMENT IN RESPONSE TO JULY 22, 2009 NOTICE  
TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID  
SEQUENCE DISCLOSURES**

**Serial No. 10/568,396**

Filed: August 31, 2006

Applicants: Stephen P. Goff and Guangxia Gao

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Stephen P. Goff and Guangxia Gao  
International  
Application No. : PCT/US2004/026162  
Serial No. : 10/568,396 Examiner : Liu, S.  
Filed : August 31, 2006 Art Unit : 1656  
For : ZAP PROTEIN AND RELATED COMPOSITIONS AND  
METHODS

30 Rockefeller Plaza  
New York, New York 10112  
August 18, 2009

Mail Stop Sequence  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

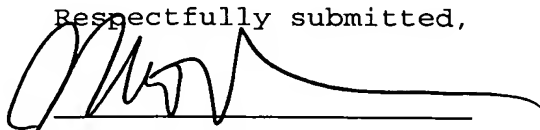
Sir:

**STATEMENT IN ACCORDANCE WITH 37 C.F.R. §§ 1.821(f) AND (g)**

Pursuant to 37 C.F.R. §1.821(f), I hereby certify that the content of the Sequence Listing enclosed herewith as Exhibit C and the content of the computer readable form of the sequence listing enclosed herewith as Exhibit E are identical. Pursuant to 37 C.F.R. §1.825(a), I hereby certify that the Sequence Listing enclosed herewith as Exhibit C contains no new matter.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Respectfully submitted,



Michael Pearce  
Cooper & Dunham LLP  
30 Rockefeller Plaza  
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# **EXHIBIT E**

**AMENDMENT IN RESPONSE TO JULY 22, 2009 NOTICE  
TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID  
SEQUENCE DISCLOSURES**

**Serial No. 10/568,396**

Filed: August 31, 2006

Applicants: Stephen P. Goff and Guangxia Gao

File Name:

08\_22\_09\_67489\_PCT\_US\_SeqList

Date Recorded: 08/10/2009

Computer: IBM PC Compatible

Operating System: Windows

Software: PatentIn 3.5

Applicants: Stephen P. Goff & Guangxia  
Gao

Serial No: 10/568,396

Filed: August 31, 2006